

2006

Consensus Manual

Revised July 2006

KEY PROCESS CHANGES FOR 2006

- All Stage 1 scorebooks will be available on *examinerdepot* (<https://rproxy.nist.gov/examinerdepot>), the Baldrige National Quality Program (BNQP) Web site for exchanging consensus materials. Each Consensus Team will be assigned its own page, and Examiners will have unique passwords for uploading and downloading their documents.
- The team's scorebook editor will no longer prepare a Key Themes Worksheet in the planning phase of consensus. Instead, the scorebook editor will complete it after all team members have completed their draft Item Worksheets.
- The National Institute of Standards and Technology (NIST) Monitors will have the option of remaining on or leaving consensus calls after the team has established its processes. NIST will no longer staff a consensus hotline. However, if the monitor leaves the call, he/she will be available during the call to answer any questions that may arise; the Team Leader can call the monitor, and, if necessary, the monitor will phone into the conference call and talk with the whole team. Team Leaders should call monitors at the completion of the call to let them know that the team has finished its work.
- The evaluation of applicants at Stage 2, Consensus Review requires Examiners to share information with each other. This involves talking on the telephone and exchanging written materials. To protect the confidentiality of applicants, the Baldrige Office has always required that Examiners refer to applicants by an identifying number only, in both oral and written communications.

In the past, Examiners have not been permitted to use cordless phones, cell phones, or Voice over Internet Protocol (VoIP) for their discussions, even though the applicant's name is never used; however, the use of these technologies has become pervasive in recent years, with most organizations using them internally. The Baldrige Office, therefore, has reexamined the need for these restrictions. While we will maintain our policy of using applicants' identifying numbers, not names, in all communications, we have asked applicants whether the Examiners evaluating their applications may use cell phones, cordless phones, and VoIP. The NIST Monitor will tell the Team Leader whether the applicant has authorized Examiners to use these technologies. Note: The use of e-mail still is **not** authorized for anything but general planning.

- To assist the scorekeeper, the optional "Stage 2 Score Calculating Worksheet" can be found on the Examiner Resources Center Web page (www.baldrige.gov/Examiner_Resources.htm). Download the worksheet before entering scores.
- Sample correspondence has been removed from this manual and can be found on the Examiner Resources Center Web page (www.baldrige.gov/Examiner_Resources.htm).

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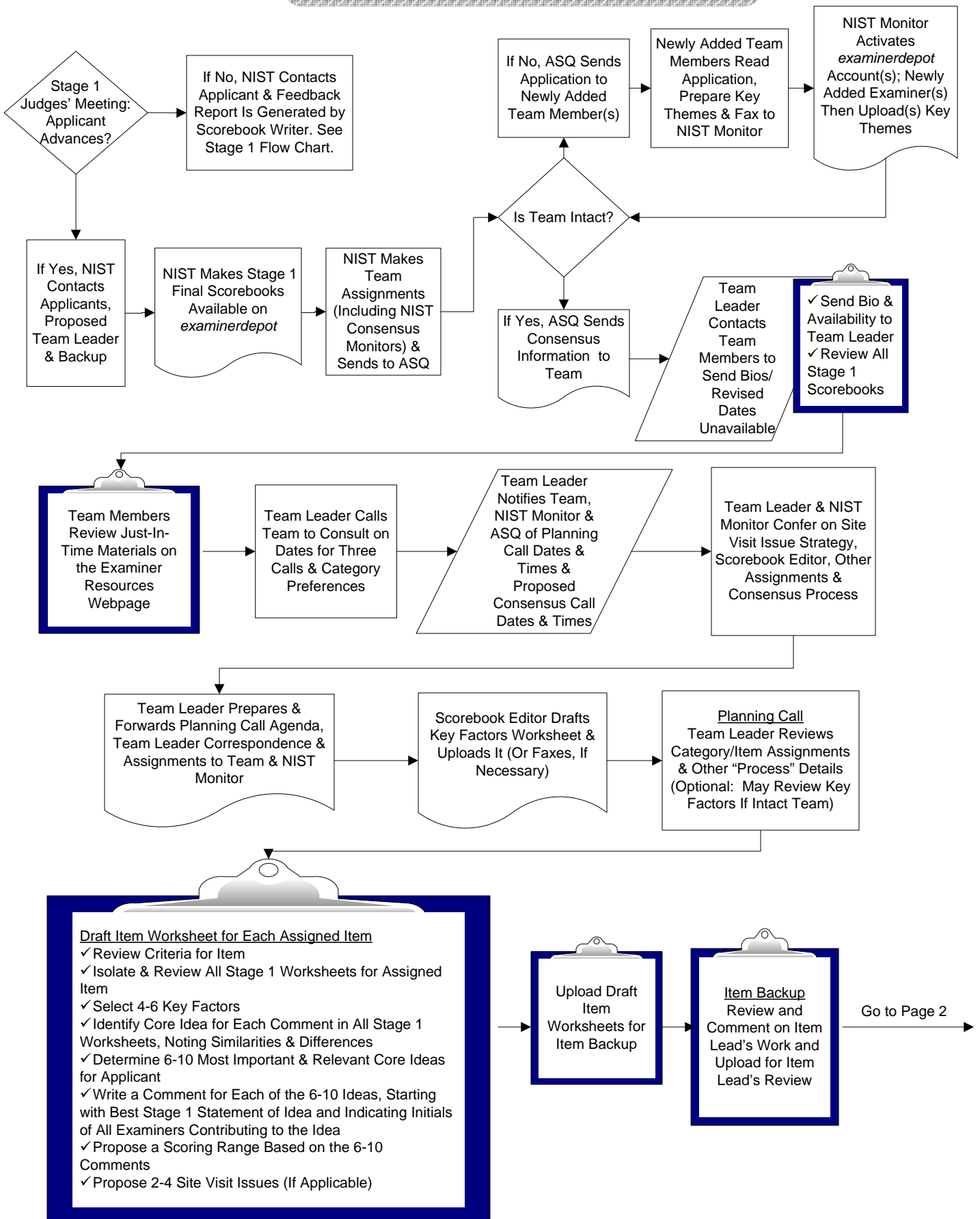
Section One

The Consensus Review Timeline

2006 STAGE 2, CONSENSUS REVIEW TIMELINE

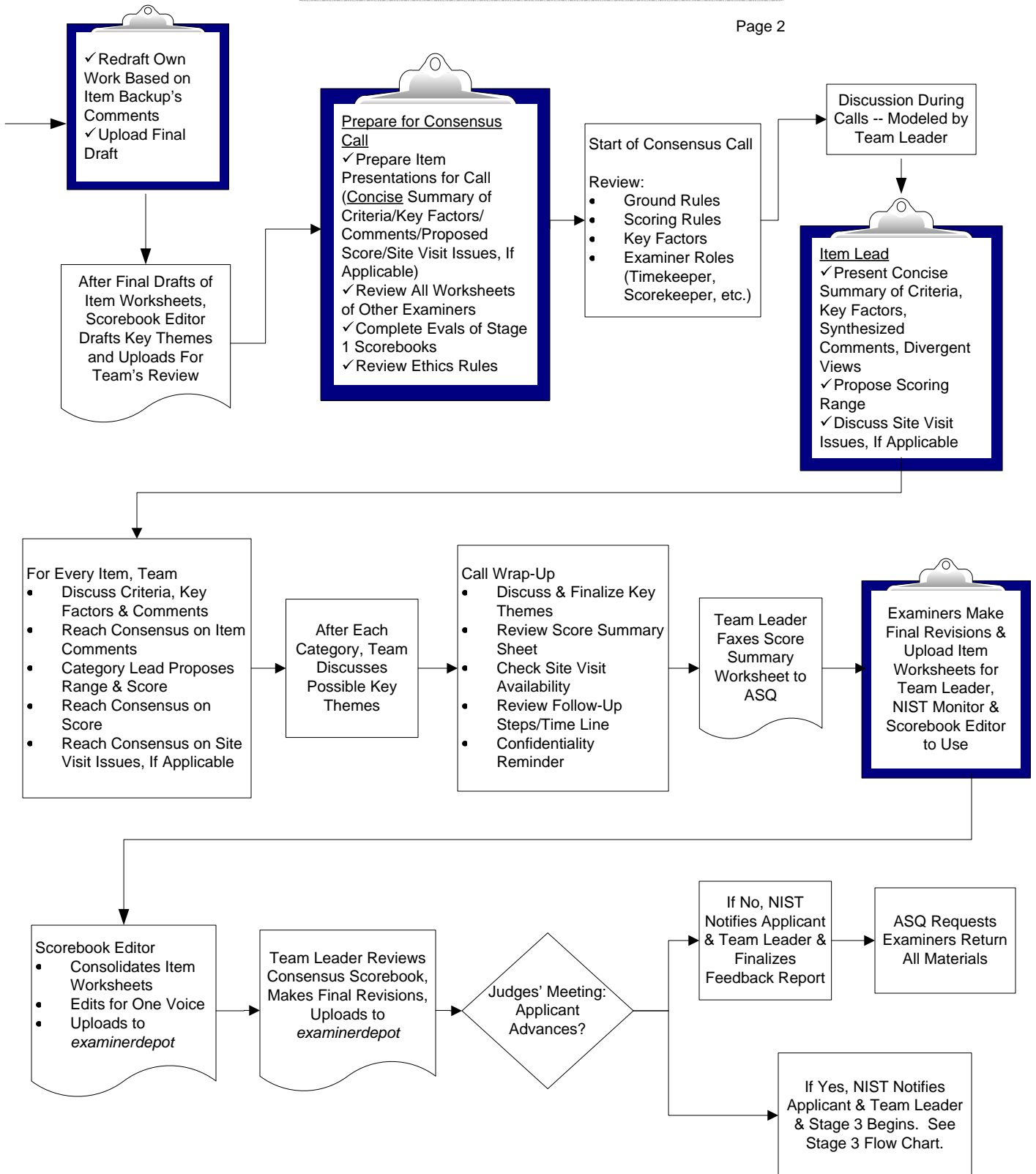
July 27	Judges' meeting—consensus applicants selected.
July 28–August 4	<p>NIST/BNQP Award Process Team determines consensus assignments and notifies the American Society for Quality (ASQ).</p> <p>ASQ sends team members their assignments, team lists, and general consensus instructions.</p> <p>ASQ sends applications to Examiners who are being added to a Consensus Team; these Examiners fax their Key Themes Worksheets to their NIST Monitors <i>no later than August 17</i>.</p>
By August 7	Team members send biographies and revised Dates Unavailable Forms to the Team Leader.
By August 9	<p>Team Leader consults with team members to set conference call dates and times.</p> <p>Team Leader notifies team, NIST/BNQP, and ASQ of conference call dates and times (at a minimum, the date and time of the planning call).</p>
By the scheduled date of planning call	Team Leader and NIST/BNQP confer on scorebook editor and select editor; Team Leader forwards agenda for the planning call to the team.
Before all calls	ASQ sends team members information for joining the conference calls. Team members confirm with ASQ their receipt of call information.
August 9–25	ASQ receives dates for consensus calls that previously were not scheduled.
August 9–16	Planning calls are conducted.
August 17	After their Key Themes Worksheets have been faxed to and reviewed by their NIST Monitors, new team members will be given access to their teams' <i>examinerdepot</i> pages. They then will upload the worksheets to <i>examinerdepot</i> .
August 28–September 1	Primary and backup consensus calls are conducted for all teams.
(Break for Labor Day Weekend)	
September 5–6	Primary and backup consensus calls are conducted for all teams.
Immediately after consensus calls	<p>If the NIST Monitor has not stayed on the call, the Team Leader calls the monitor to report that each consensus call has ended.</p> <p><i>Team Leader faxes the consensus Score Summary Worksheet to ASQ after completing the final call.</i></p>
24 hours after call	Team members upload revised consolidated comments and other assignments to the team's <i>examinerdepot</i> page.
By September 13	Team Leader uploads team's feedback-ready consensus scorebook to <i>examinerdepot</i> .
September 14	Judges meet to select applicants that will receive a site visit.

MBNQA Stage 2 Process



MBNQA Stage 2 Process

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Section Two

Stage 2, Confidentiality

During consensus, it is crucial that all Award materials remain confidential. This includes all printed materials, downloaded materials, faxed materials, e-mails, and computer files.

To safeguard applicant information, Examiners should take the following precautions:

- Store application and evaluation materials in a secure location when not in use.
- Do not discuss applicant information with anyone outside the Consensus Team.
- Do not ask an individual who is not a Consensus Team member to transcribe written documents relating to the Award application evaluation.
- Do not use e-mail except in general planning (e.g., for distribution of agendas or biographies). No Malcolm Baldrige National Quality Award (MBNQA) evaluation materials may be sent by e-mail due to the difficulty of securing Internet communications.
- Protect their *examinerdepot* PIN and password.
- Use *examinerdepot* whenever possible. In the event an Examiner does not have access to *examinerdepot*, evaluation materials may be exchanged via secure fax or overnight delivery.
 - A secure fax is one that only the Examiner has access to or is considered secure if the Examiner is at the fax machine to *receive the material as it arrives*. The sending Examiner must call the receiving Examiner before faxing the material to verify that she/he can go to the fax machine to receive the confidential material. *This material must be marked “confidential.”*
- Treat computer (electronic) files with the same degree of security as paper copies. For example,
 - when electronic files are not in use, remove them from the computer hard drive and store them on a clearly marked CD/disk that is placed in a secure location with the written application materials;
 - never place electronic files containing Award evaluations on a computer hard drive or CD/disk where anyone other than the Examiner has access to the file; and
 - determine if a backup file is automatically created, and, if so, where it is located and what it is named. Backing up files is important, and Examiners are urged to do so. Examiners also are urged to be certain that backup files are treated with the same degree of security as working files.

- **Important Process Change**

To protect the confidentiality of applicants, the Baldrige Office has always required Examiners to refer to applicants by an identifying number only, in both oral and written communications. In addition, Examiners have not been permitted to use cordless phones, cell phones, or Voice over Internet Protocol (VoIP) for their discussions, even though the applicant's name is never used.

While we will maintain our policy of using applicants' identifying numbers, not names, in all communications, we have asked applicants whether the Examiners evaluating their applications may use cell phones, cordless phones, and VoIP. The NIST Monitor will tell the Team Leader whether the applicant has authorized Examiners to use these technologies.

Note: The use of e-mail still is **not** authorized for anything but general planning.

Section Three

Stage 2, Consensus Review Process Description

<hr/> <hr/> PURPOSE	<hr/> <hr/> <p>The purpose of Stage 2, Consensus Review is to clarify and resolve differences in individual Examiners’ reviews from Stage 1, Independent Review. During consensus review, a team of Examiners reaches agreement on the applicant’s strengths and opportunities for improvement (OFIs), the resulting score, and, if required by the Team Leader, two–four issues per Criteria Item to clarify and verify if the applicant is selected for site visit. The consensus scores are used to develop scoring profiles for the Panel of Judges to use in its site visit selection process.</p>
<hr/> <hr/> ASSIGNMENT OF CONSENSUS TEAM MEMBERS	<hr/> <hr/> <p>A Consensus Team includes a Team Leader, a Backup Team Leader, and a combination of Examiners (Senior, returning, new, and, in some cases, Alumni). Whenever possible, team members selected are Examiners who completed the original Stage 1 review of the application.</p> <p>Team Leaders and Backup Team Leaders are Senior Examiners who have received additional training on the Baldrige Award’s purposes and processes. One Consensus Team member serves as the scorebook editor. Additional roles for team members include timekeeper, scorekeeper, scorebook sponsor, Criteria cop, and process checker.</p>
<hr/> <hr/> THE CONSENSUS REVIEW PROCESS	<hr/> <hr/> <p>Consensus is a team decision about key factors, comments (Items and key themes), and numerical scores, based on the contributions of <i>all</i> Consensus Team members and all Stage 1 scorebooks, including those of Stage 1 Examiners who are not members of the Consensus Team. Via conference calls, the Consensus Team reaches agreement on comments synthesized from the Stage 1 scorebooks.</p> <p>The scorebook editor prepares a consensus scorebook using the combined work of the Consensus Team and forwards it to the Team Leader for approval and submission to NIST.</p> <p>The consensus scorebook is used as the basis for the feedback report for applicants not progressing to Stage 3, Site Visit Review. It also serves as the basis for site visit planning for applicants advancing to Stage 3.</p>

CONSENSUS TEAM MEMBERS' ROLES AND RESPONSIBILITIES

	Planning and Prework	Conducting the Consensus Call	Preparing the Consensus Scorebook
Team Leader	<ul style="list-style-type: none"> - Contacts team members and introduces self - Schedules planning call and consensus calls - Reviews Stage 1 scoring information - Drafts instructions/ground rules for team and agendas for calls - Drafts assignments for team (scorebook editor, Category/Item leads, Category/Item backups, timekeeper, scorekeeper, scorebook sponsors, computer expert, Criteria cop, process checker) - Discusses instructions, plans for calls, team assignments (including scorebook editor), and agendas with NIST Monitor - Distributes instructions/agendas to team - Reviews consensus scoring and rounding - Verifies receipt of team information by ASQ - Reviews Code of Ethical Conduct - Develops plan for site visit issues - Mentors Backup Team Leader 	<ul style="list-style-type: none"> - Makes introductions - Establishes ground rules - Verifies and clarifies process, responsibilities, and schedule - Finalizes agenda - Discusses computer use, including use of <i>examinerdepot</i> - Reviews order of discussion of Items - Models presentation style for team - Facilitates discussion - Recaps scoring results - Ensures calls are completed by September 6, 2006 - Calls the NIST Monitor to report that each consensus call has ended, if monitor has not remained on the call - Faxes Score Summary Worksheet to ASQ immediately after call - Mentors Backup Team Leader 	<ul style="list-style-type: none"> - Coordinates and confirms deadlines with team members and scorebook editor - Attaches Score Summary Worksheet - Posts final feedback-ready scorebook to <i>examinerdepot</i> by September 13, 2006 - Retains electronic copy until notified to destroy it - Prepares peer evaluation forms - Mentors Backup Team Leader
Backup Team Leader	<p>Assists Team Leader in planning and communicating with team. For example, he/she could</p> <ul style="list-style-type: none"> - schedule planning call and consensus calls - review Stage 1 scoring information - suggest Category and other team assignments - draft call agendas - review other members' draft worksheets and give feedback on how to improve the final product - attend planning discussions with Team Leader and NIST Monitor - develop plan for site visit issues - orient new Stage 2 team members - mentor less-experienced Examiners 	<p>Assists Team Leader as needed. For example, he/she could</p> <ul style="list-style-type: none"> - verify and clarify process, responsibilities, and schedule - discuss computer use, including use of <i>examinerdepot</i> - model presentation style for team - facilitate discussion - recap scoring results - mentor less-experienced Examiners 	<p>Assists Team Leader as needed. For example, he/she could</p> <ul style="list-style-type: none"> - assist team members and scorebook editor - coordinate use of <i>examinerdepot</i> - retain electronic copy until notified to destroy it - prepare peer evaluation forms - mentor less-experienced Examiners
Team Members	<ul style="list-style-type: none"> - Review Criteria requirements, relevant key factors, and guidelines for completing Item Worksheets - Serve as Category/Item leads and Category/Item backups and review all Stage 1 scorebooks - Complete and submit Key Themes Worksheets (new members) - Develop draft Item Worksheets - Upload draft worksheets to <i>examinerdepot</i> for other team members' and NIST Monitor's review - Review other team members' draft Item Worksheets - Provide updated information to Team Leader - Verify with ASQ receipt of conference call information - Review Code of Ethical Conduct, if necessary 	<ul style="list-style-type: none"> - Provide input on agenda topics - Serve as timekeeper, scorekeeper, scorebook sponsor, Backup Team Leader, process checker, Criteria cop, or computer expert, as assigned - Lead discussion on assigned Items (review Criteria requirements, relevant key factors, and comments, and propose scoring range and percent score) - Contribute to discussion of other Items during the call - Arrive at consensus on comments and score - Record information from discussion on assigned Items - Perform assigned duties - Provide input for Key Themes Worksheet - Recap scoring results on assigned Items 	<ul style="list-style-type: none"> - Prepare final Item Worksheets - Post final Item Worksheets on <i>examinerdepot</i> to be downloaded by scorebook editor, Team Leader, and NIST Monitor - Complete peer evaluations and forward to NIST

Scorebook Editor (<i>Could be the Team Leader, Backup Team Leader, or another team member</i>)	<ul style="list-style-type: none"> - May prepare/distribute to team Key Factors Worksheet, if asked to do so by Team Leader - Reviews other team members' draft Item Worksheets and provides comments - Provides updated information to Team Leader 	<ul style="list-style-type: none"> - Contributes to the discussion of Items during the call - Notes the team's consensus on comments and scores - Ensures all comments are well-written and conform to Comment Guidelines - Captures discussion of Items for inclusion in scorebook - Drafts and posts Key Themes Worksheet to <i>examinerdepot</i> after draft Item Worksheets are completed by team members - Finalizes Key Themes and Key Factors Worksheets, if assigned by the Team Leader 	<ul style="list-style-type: none"> - Coordinates with Category/Item leads to ensure comments and site visit issues (if applicable) reflect the calls' discussion and Criteria requirements - Compiles consensus Item Worksheets - Reviews Item Worksheets to eliminate conflicts and develop linkages - Finalizes Key Factors Worksheet - Finalizes Key Themes Worksheet - Formats the scorebook
NIST/BNQP	<ul style="list-style-type: none"> - Forms Consensus Teams - Sends team assignments to ASQ - Monitors process and answers questions - Supports Team Leaders in planning consensus calls - Assigns and notifies new team members - Enables new team members to access <i>examinerdepot</i> to upload their Key Themes Worksheets - Confers with Team Leader to assign scorebook editor 	<ul style="list-style-type: none"> - Explains role of NIST Monitor to team members - Monitors planning call and start of consensus call(s) - Provides assistance on process and Criteria during the call 	<ul style="list-style-type: none"> - Provides assistance on process - Receives consensus scorebook - Edits the feedback report - Prepares for Judges' meeting
ASQ	<ul style="list-style-type: none"> - Distributes team lists - Provides team member information to Team Leader - Forwards consensus packages to teams 	<ul style="list-style-type: none"> - Provides support for telecommunication issues - Collects completed Score Summary Worksheet from Team Leader 	<ul style="list-style-type: none"> - Prepares Judges' materials
Judges	<ul style="list-style-type: none"> - Review the instructional materials and samples prior to the Stage 2 meeting in September 		<ul style="list-style-type: none"> - Select applicants for site visits

CONSENSUS TEAM ROLES
Team Leader

The Team Leader has several roles during the consensus review process:

1. Plans the consensus review process for the Consensus Team, guides the team through the key steps of the process, and monitors the process for both progress and quality
2. Develops a plan for completing site visit issues (SVIs) in the event the applicant is selected for a site visit (See Section Five, "Site Visit Issues.")
3. Instructs the Consensus Team on any changes to the consensus review process not covered during the Examiner Preparation course
4. Serves as a mentor and role model for Senior Examiners who have not led and/or participated in Stage 2, as well as for new and returning Examiners
5. Models the desired process for presenting assigned Categories/Items
6. Reviews and approves the consensus scorebook prior to its submission to NIST

Backup Team Leader

In addition to his/her roles as a Consensus Team member, the Backup Team Leader works with the Team Leader to plan the consensus process. The backup also assists the Team Leader in communicating with the other team members. *Most important, the backup assumes the Team Leader role if the Team Leader is unable to fulfill the role.*

Scorebook Editor

The Team Leader assigns the scorebook editor with assistance from NIST. The editor is responsible for working with all Category/Item leads to ensure that all comments are well-written and conform to the Comment Guidelines. He/she drafts and finalizes the Key Themes Worksheet and finalizes the Key Factors Worksheet to be included in the final scorebook. The scorebook editor may be responsible for drafting the Key Factors Worksheet as part of the prework before the calls.

Category/Item Lead

Individual team members act as leads on specific Items and/or Categories assigned to them by the Team Leader. A significant amount of work must be completed before the consensus calls start. The Category/Item lead role ensures the following:

1. All scorebooks are reviewed for the assigned Items.
2. Draft Item Worksheets are prepared with key factors, strengths, and opportunities for improvement.
3. Areas of disagreement that account for scoring differences among Examiners are captured.

	<ol style="list-style-type: none"> 4. A proposed scoring range based on the comments and appropriate Scoring Guidelines is included. 5. Two–four key SVIs per Item are drafted (if applicable). 6. Draft Item Worksheets are uploaded to <i>examinerdepot</i> for review by the Category/Item backup and the NIST Monitor. 7. After the backup’s review, the Item Worksheets are revised and then uploaded for all team members and the NIST Monitor. 8. A Peer Evaluation Form for each scorebook is completed and returned to NIST.
Category/Item Backup	<p>The primary role of the Category/Item backup is to review the proposed draft Item Worksheets prepared by the Category/Item lead to ensure the comments address all major points of the Criteria Items without going beyond the Criteria requirements. Also, the backup should suggest changes and/or additions to the comments based on the Comment Guidelines. <i>Most important, the backup should be prepared to lead the discussion if the Examiner assigned as the lead is unable to participate.</i></p>
Criteria Cop	<p>The primary role of the Criteria cop is to ensure that the consensus call discussions and comments are limited to what is specified in the Criteria.</p>
Process Checker	<p>The primary role of the process checker is to ensure that the team discussions of each Item follow the process outlined in this manual (i.e., Criteria requirements, key factors, strengths/OFIs, comment differences causing scoring differences, proposed scoring range, score, and site visit issues, if applicable). The optional “Checklist for Process Checker to Use on Calls” can be found on the Examiner Resources Center Web page (www.baldrige.gov/Examiner_Resources.htm).</p>
Computer Expert	<p>The primary role of the computer expert is to provide guidance to team members on file-labeling conventions and to resolve hardware- and software-related issues.</p>
Scorebook Sponsor	<p>The scorebook sponsor represents the views expressed in the scorebook(s) of Stage 1 Examiners not participating in the consensus process (sometimes referred to as “phantom scorebooks”). The sponsor represents these views in the consensus Item Worksheets and corresponding discussions.</p>

Timekeeper	The timekeeper ensures that the consensus discussions adhere to the time frames set in the agenda and records the duration of each call.
Scorekeeper	The scorekeeper is responsible for capturing the final Item scores based on the input from all team members. An optional “Stage 2 Score Calculating Worksheet” has been placed on the Examiner Resource Center Web page to assist in this task. The worksheet can be used with five-, six-, seven-, or eight-member consensus teams. Download the worksheet before entering scores. This worksheet should be treated with the same level of confidentiality as other consensus/applicant materials.
TEAM LEADER RESPONSIBILITIES— CHRONOLOGY OF ACTIVITIES Getting Started	<ul style="list-style-type: none"> ✓ Review the consensus package sent by ASQ. It will contain <ol style="list-style-type: none"> 1. a list of team members 2. Dates Unavailable Forms 3. scoring profiles (Stage 1 Examiner Scoring Table, Stage 1 Scoring Graph, and Stage 1 Frequency of Scores) ✓ Review this manual and any online Stage 2 materials. ✓ Review the Consensus Team Members’ Roles and Responsibilities matrix (pages 11–12). ✓ Contact the team members immediately after you receive the list of Consensus Team members and <ol style="list-style-type: none"> 1. introduce yourself and provide your biography 2. ask for biographies and updated Dates Unavailable Forms 3. confirm all team members’ telephone, fax (identify whether secure or not secure), and address data for mid-August through mid-September 4. instruct Examiners to notify you if they do not receive the mailing from ASQ or if it is incomplete or incorrect 5. solicit each Examiner’s Item interest and expertise for preliminary discussion of team assignments 6. survey team members about their computer and software access, reminding them that all materials should be prepared using the NIST-requested format (Times New Roman, 12 point) and saved in Microsoft Word 2000 or higher, including Word 2002 (XP). ✓ If there is a new team member, determine when his/her completed Key Themes Worksheet will be faxed to NIST—which must be no later than August 17. Reviewing and/or discussing any applicant information (e.g., draft Key Factors Worksheets, strengths/OFIs, or scorebooks) may not occur until the new team member submits the Key Themes

Worksheet to the NIST Monitor. The NIST Monitor will review the Key Themes Worksheet and enable the new team member to access the team's *examinerdepot* page. The new team member then will upload the worksheet to *examinerdepot*.

Complete Planning and Prework

- ✓ Discuss the possible scorebook editor assignment with NIST/BNQP, taking into account the writing skills, willingness, and availability of potential editors. The scorebook editor can be the Team Leader, Backup Team Leader, or another member of the team. Typically, the scorebook editor assignment is given to Examiners who have at least one year of consensus experience.
- ✓ Contact the identified scorebook editor and discuss the role.
- ✓ Determine Consensus Team assignments by
 1. reviewing team members' scorebooks
 2. evaluating Item expertise, knowledge of the Criteria, and quality of comments
 3. considering the Examiners' preferences for Items
 4. assessing other Consensus Team assignments: Category/Item leads, Category/Item backups, scorebook editor, scorebook sponsors for phantom scorebooks, etc.
- ✓ Determine and assign the pairings of lead and backup responsibilities. Consider balancing the following factors:
 1. an Examiner experienced in the MBNQA process with an inexperienced Examiner
 2. an introvert with an extrovert
 3. good writing skills with adequate writing skills
- ✓ Schedule the consensus conference calls (planning and consensus calls):
 1. Use the updated Dates Unavailable Forms to select call dates and times consistent with Examiners' availability.
 2. Select dates and times for a one-hour planning call (**August 9–16**).
 3. Select dates and times for all remaining consensus calls, which must be held during the time frame specified on the consensus timeline (**August 28–September 1** and **September 5–6**).
 4. Contact each team member with the proposed call dates and times and confirm his/her availability.
 5. Notify NIST and ASQ of agreed-upon dates and times.

- ✓ Develop a tentative schedule for the consensus review from initial preparation through delivery of the final, completed consensus scorebook. Key dates should include the following:
 1. call dates and times (for planning call and two consensus calls)
 2. draft Item Worksheets due to Category/Item backups, Team Leader, and NIST Monitor
 3. revisions of draft Item Worksheets
 4. revised Item Worksheets and other assignments due to full team and NIST Monitor
 5. completion of assignments after the call
 6. completion of the consensus scorebook by the scorebook editor; review and approval of final consensus scorebook by the Team Leader, and uploading of feedback-ready consensus scorebook to *examinerdepot* (see “2006 Stage 2, Consensus Review Timeline,” page 3).
- ✓ Develop a plan for completion/discussion of SVIs. (See Section Five, “Site Visit Issues.”)
- ✓ Draft correspondence to team members containing assignments, instructions, expectations, ground rules, and agendas for the team. (See “Draft Agenda for the Planning Call,” below, and sample correspondence and agendas posted in the “correspondence” section of the Examiner Learning Resource Center Web page at www.baldrige.gov/Examiner_Resources.htm.)
- ✓ Review the tentative action plan, consensus strategy, SVI plan, and draft agendas for the calls, as well as correspondence, with the NIST Monitor.
- ✓ Plan to model the desired process, using a less-complicated Category (usually Items from Category 1, Leadership).
- ✓ Plan to discuss corresponding Items in Category 7 with the applicable Process Items.
- ✓ Distribute the action plan, consensus strategy, SVI plan, and agendas for the calls, as well as correspondence, to team members and the NIST Monitor.
- ✓ Confirm with ASQ that all Examiners have acknowledged receipt of the conference call date/time information.
- ✓ Distribute team biographies and consensus call information prior to the call.

Draft Agenda for the Planning Call

The planning call can be used for three purposes:

1. It has a team-building function to help the team get acquainted.
2. It has a planning function, allowing the Team Leader to cover the logistics of the consensus review process with all team members at the same time.
3. It possibly begins the scorebook review process. Some teams are able to begin discussing draft Key Factors Worksheets during the planning call if all new team members have sent their Key Themes Worksheets to NIST and if all team members are on the call for the entire discussion.

✓ Topics to cover in the planning call include the following (see the sample agenda located in the “correspondence” section on the Examiner Resource Center Web page at www.baldrige.gov/Examiner_Resources.htm):

1. a roll call to ensure all team members are present
2. the reconnection policy: review the procedure for reconnecting if a team member is disconnected, and remind the team not to disconnect during breaks
3. introductions:
 - Begin the process of matching Examiners’ names with their voices.
 - The NIST Monitor explains his/her role throughout the consensus process.
4. a check to ensure all working materials have been received
5. ground rules for the calls
6. assignments (e.g., scorebook editor, Category/Item leads, Category/Item backups, scorekeeper, timekeeper, scorebook sponsors, computer expert, Criteria cop, and process checker)
7. an overview of preparation requirements
8. a consensus review schedule
9. consensus call dates and times
10. an agenda for the remaining consensus calls
11. confidentiality procedures (e.g., use of cordless and cell phones, secure/unsecure fax machines, computer use and files, and e-mails)
12. scorebook preparation software, formatting, distribution procedures, and protocols for naming *examinerdepot* files
13. completion of Peer Evaluation Forms
14. site visit availability
15. optional planning call topics: draft Key Factors Worksheet (only if new team members have provided their Key

Themes Worksheets to the NIST Monitor and all team members are present for the discussion)

Prior to the Consensus Calls

Prior to the consensus call(s), ensure

1. all Examiners have used the correct Criteria (Business/Nonprofit, Health Care, or Education) in their evaluations
2. all Examiners have completed their draft Item Worksheets and any other assignments (the Backup Team Leader can assist with this task)
3. all Item Worksheets have been reviewed and commented on by assigned Category/Item backups
4. all revised Item Worksheets and other assigned work have been uploaded for all team members and the NIST Monitor
5. team members have reviewed all documents for each Item and are ready to serve as scorebook sponsors, as assigned
6. all Examiners know to connect with the conference call several minutes before the call is to begin
7. copies of all communications, documents, and materials have been sent to or uploaded for all team members and the NIST Monitor
8. a discussion of the consensus call agenda has occurred with the NIST Monitor
9. the consensus call agenda has been distributed to all team members and the NIST Monitor

Conduct the Consensus Calls

The calls include the following topics (see the sample located in the “correspondence” section on the Examiner Resource Learning Web page at www.baldrige.gov/Examiner_Resources.htm):

1. a roll call by the Team Leader
2. instructions/procedures if disconnected when on break
3. various roles (e.g., timekeeper, scorekeeper, process checker)
4. the role of the NIST Monitor
5. agenda review
6. ground rules
7. rules for consensus scoring (see Section Four)
8. Key Factors Worksheet
9. the Item discussions, modeled by the Team Leader, including
 - Criteria Item requirements
 - four–six key factors for the Item

	<ul style="list-style-type: none"> – a review of strengths and OFIs – discussion of areas of agreement and differences – discussion of unique comments – consensus on strengths and OFIs – a review of Scoring Guidelines – consensus on scoring range – assignment of a percentage score within an agreed-upon range – consensus on SVIs (if applicable) <p>10. review and confirmation of Item scores</p> <p>11. Key Themes Worksheet review and finalization</p> <p>12. scoring results recap, including a review of the Score Summary Worksheet</p> <p>13. review of next steps, confirming schedules and deadlines for the following:</p> <ul style="list-style-type: none"> – revisions – posting of materials – submission of materials – production and submission of the final scorebook <p>14. review of site visit schedule, confirming Examiners' availability</p>
Immediately Following the Consensus Calls	<ul style="list-style-type: none"> ✓ If the NIST Monitor did not remain on the call, call him/her after each consensus call to report that it has ended. ✓ Fax the Score Summary Worksheet to ASQ (414-765-7214) only after the final call.
THE CONSENSUS SCOREBOOK	<p>The consensus review process results in a consensus scorebook. NIST reformats the final consensus scorebook into a feedback report, which is presented to the applicant if it does not progress to Stage 3, Site Visit Review.</p>
Responsibilities	<p>The Team Leader is ultimately responsible for the preparation, the content quality, and the timely submission of the team's consensus scorebook with feedback-ready comments.</p> <p>The team writes the consensus scorebook collaboratively. That is, the Category/Item leads are responsible for preparing the Item Worksheets, and team members are responsible for reviewing and agreeing upon final comments.</p> <p>The scorebook editor completes and edits the Key Factors and Key Themes Worksheets and edits the Item Worksheets to ensure they meet the Comment Guidelines.</p> <p>The Team Leader reviews all worksheets to ensure they have been revised to reflect the discussion on the consensus call. The</p>

Team Leader also has the ultimate responsibility to review and approve the quality of the scorebook.

Timely Submission

The final, edited, and feedback-ready consensus scorebook must be uploaded to the *examinerdepot* page by **September 13**.

The Team Leader and scorebook editor retain an electronic copy of all materials provided to NIST until notified by ASQ that the feedback report has been sent to the applicant. This will facilitate any discussions concerning the content during the NIST editorial process. If the applicant proceeds to Stage 3, the consensus scorebook will serve as the starting point for site visit planning.

To meet the deadline for submission, Team Leaders must allow time following the consensus call(s) for revisions by Category/Item leads, editing and/or formatting by the scorebook editor, and review and approval by the Team Leader.

Preparation

-
-
- ✓ The Team Leader works with team members to ensure the revised Item Worksheets and other worksheets reflect the consensus call discussions and meet the Comment Guidelines.
 - ✓ The scorebook editor revises and the Team Leader approves the revisions to the consensus scorebook **comments** (strengths and OFIs) and **Key Themes Worksheet**. The scorebook editor will
 - clarify and standardize the language among Items
 - eliminate any conflicts between strengths and OFIs within and among Items
 - check that all comments conform to the Comment Guidelines(Site visit issues and the Key Factors Worksheet will be revised if the applicant is selected to go on to site visit.)
 - ✓ The scorebook editor assembles the consensus scorebook for uploading to *examinerdepot*. The scorebook should include the following:
 - Key Factors Worksheet
 - Key Themes Worksheet
 - Item Worksheets containing key factors and all comments (strengths, OFIs, Areas to Address [e.g., a(1), b(3)], evaluation factors [e.g., Approach-Deployment-Learning-Integration]) and site visit issues, if applicable
 - Score Summary Worksheet (previously faxed to ASQ by the Team Leader)

-
-
- ✓ The scorebook editor uploads the revised consensus scorebook for the Team Leader's review.
 - ✓ The Team Leader reviews, revises, and approves the consensus scorebook.
 - ✓ The Team Leader uploads the *final, edited, feedback-ready consensus scorebook* by **September 13**.

COMPUTER USE AND SCOREBOOK FORMAT

In the team's planning call, discuss computer use, and, if possible, identify someone on the team to coordinate it and ensure that there will be compatibility among the computer files generated by the team members.

- ✓ Develop a plan to produce compatible computer output (files). This should include
 1. the word-processing software version and CD or disk format to save shared files (e.g., Microsoft Word 2000 or higher, including Word 2002 [XP]). Macintosh users should convert the file to a PC-compatible file.
 2. a file-naming convention
 3. document format requirements:
 - font: Times New Roman and 12 point type size
 - margins: 1 inch
 - page numbering and location
 - line spacing: single space the individual comments, but double space between comments
 4. page format/layout issues
 5. format for Item Worksheets
 - Item number on the first line
 - key factors (4–6)
 - plain text for comments (i.e., no bold, underlining, or colors)
 - use tabs for moving between
 - left page margin and + or –
 - + or – and a, b, c
 - a, b, c, and first word of the comment
- ✓ Ensure each Examiner has the most current version of a virus detection software, and ensure each Examiner checks all CDs, disks, and the hard drive for computer viruses.
- ✓ Ensure that all files have up-to-date backups created. Backup files should be treated with the same degree of security as the working files.

- ✓ Ensure that backup files are kept on separate CDs/disks and that write-protect tabs are in place.

- ✓ If mailing CDs or disks, use a protective mailer for transit.

After the consensus calls are completed and changes incorporated into the drafts, Examiners should upload their work to *examinerdepot*. In the event that *examinerdepot* isn't accessible to an Examiner, he/she should send both a paper copy and a copy of the associated electronic files on CD/disk for each section to the Team Leader and scorebook editor.

Once Examiners have verified that both the Team Leader and scorebook editor have accessed or received their work, Examiners should remove all electronic files (including backup files) from their hard drive, store the files on a CD/disk, and keep the CD/disk in a secure location. If the applicant does not receive a site visit, each Examiner will return all Award materials to ASQ and delete from their personal computer the associated electronic files. It is then desirable to reformat the CDs/disks so the file/information cannot be retrieved using software recovery programs.

Section Four

Consensus Scoring

RULES FOR CONSENSUS SCORING

The Team Leader should review the following rules for consensus scoring with the team scorekeeper:

Reaching Consensus on Item Scores (the electronic Stage 2 Score Calculating Worksheet may be helpful for these calculations)

- ✓ After an Item is discussed during the consensus call(s), the assigned Category/Item lead will propose a scoring range. Team members will reach consensus on the proposed scoring range. Once team members reach consensus on the range, the Item lead will propose a percent score within the range. The team members then will attempt to reach consensus on a score.
- ✓ If, after a discussion, consensus cannot be reached and the difference in proposed scores among team members participating on the call is 30 percent or less, the average of the proposed scores of team members participating in the conference call is used.

Calculating Item, Category, and Total Scores (the electronic Score Summary Worksheet will automatically perform most of these calculations)

Item Scores

- ✓ The consensus **percent** score for each Item should be a **whole** number with no decimal places. To do this, use normal rounding rules (0.5 percent and higher are rounded up; 0.49 percent and below are rounded down).
- ✓ The consensus **points** for each Item should be a **whole** number. To do this, multiply the consensus percent score (whole number) by the maximum points possible for the Item. Round to the nearest whole number using normal rounding rules.

Category Scores

- ✓ The consensus **percent** score for each Category should be a **whole** number calculated by adding the point scores from all Items in the Category, dividing the Category point score by the maximum points possible for the Category, and multiplying by 100 to convert to a percentage.

Grand Total

- ✓ The grand total of consensus **points** is arrived at by adding the point scores for all seven Categories or all Items. It will be a whole number because all Item and Category point scores are whole numbers.
- ✓ The grand total consensus **percent** score is calculated by dividing the grand total consensus points by 10 (example: 378 points = 37.8 percent). A decimal is acceptable here.

TOOLS PROVIDED FOR PLANNING CONSENSUS ASSIGNMENTS

To help with the assignment of team members, the Team Leader will receive three documents:

1. Stage 1 Examiner Scoring Table
2. Stage 1 Scoring Graph
3. Stage 1 Frequency of Scores

A description of each document follows with guidance on how it can be used in the consensus process. Sample copies of these documents are shown on pages 29–31.

STAGE 1 EXAMINER SCORING TABLE

The **Stage 1 Examiner Scoring Table** is a table showing the Item and total scores for all Examiners who scored the application at Stage 1, with summary data for the application. The first two columns on the left show the Item number and the maximum possible points for the Item. The Examiners are identified by number from left to right across the top of the chart. Their individual scores for the Items are given in the column below their number, with their total score at the bottom. The range (low–high) of scores for an Item is identified by scanning across a line. The next five columns show summary data for each Item: the average point score, the average percent score, the median point score, the median percent score, and the standard deviation. Along the bottom row for each Category, the table provides the maximum possible Category points and the total Category points assigned by each Examiner.

Before assigning an Examiner responsibility for an Item, the Team Leader should review the scoring data. Typically, Examiners are assigned leads on Items for which their scores were at or near the median of Stage 1 scoring.

STAGE 1 SCORING GRAPH

The **Stage 1 Scoring Graph** is a box plot graphic representation of the tabular data presented in the Stage 1 Examiner Scoring Table. The box plot displays the distribution of the scores for all Items assigned by Examiners in Stage 1, as

well as summaries of median and quartile statistics describing the distribution.

The large box indicates the center of the distribution, and it contains the middle 50 percent of the scores. The bottom of the box is drawn at the first quartile and the top at the third quartile.

Scores that are far from the middle of the distribution and that meet certain statistical definitions (defined below) are called “outliers” and “extremes.” “Outliers” are represented by a small circle (o), and “extremes” are represented by an asterisk (*).

The median score (middle score or 50th percentile) appears as a small square (\square). The median is not necessarily halfway between the first and third quartile. A line connects the median from Item to Item.

The lines extending above and below the box are known as “whiskers.” They indicate the upper and lower range (minimum and maximum) of scores that lie outside the box, excluding the “outliers” and “extremes.”

This graph identifies

1. the range of scores on each Item
2. the median score on each Item
3. where the middle 50 percent of the scores fall for an Item and how closely grouped scores are
4. scores that are statistical “outliers” and “extremes”

Statistical definitions:

1. The **interquartile range** (IQR) is the range between the first and third quartiles, $Q_3 - Q_1$.
2. **Outliers** are points that fall more than a distance of \forall 1.5 times the interquartile range from the box ends of Q_3 and Q_1 ($Q_3 + 1.5 \text{ IQR}$ and $Q_1 - 1.5 \text{ IQR}$) and less than 3 times that distance ($Q_3 + 3 \text{ IQR}$ and $Q_1 - 3 \text{ IQR}$).
Extremes are points that fall more than 3 times the distance from the box ($> Q_3 + 3 \text{ IQR}$ and $< Q_1 - 3 \text{ IQR}$). These distances are based on median values and should not be confused with standard deviations, which are based on mean values.

**STAGE 1 FREQUENCY OF
SCORES**

The **Stage 1 Frequency of Scores** is a table showing how many Stage 1 Examiners selected a specific Item percent score.

The horizontal axis at the bottom shows the Item numbers. The vertical axis shows the percentage scores. Within the grid boxes is a frequency count of the number of Examiners who scored an Item at each of the 5 percent increments.

Note: For ease in reading, zero frequency counts are not recorded.

SAMPLE STAGE 1 EXAMINER SCORING TABLE

MALCOLM BALDRIGE NATIONAL QUALITY AWARD

2004 Stage 1 Examiner Scoring Table

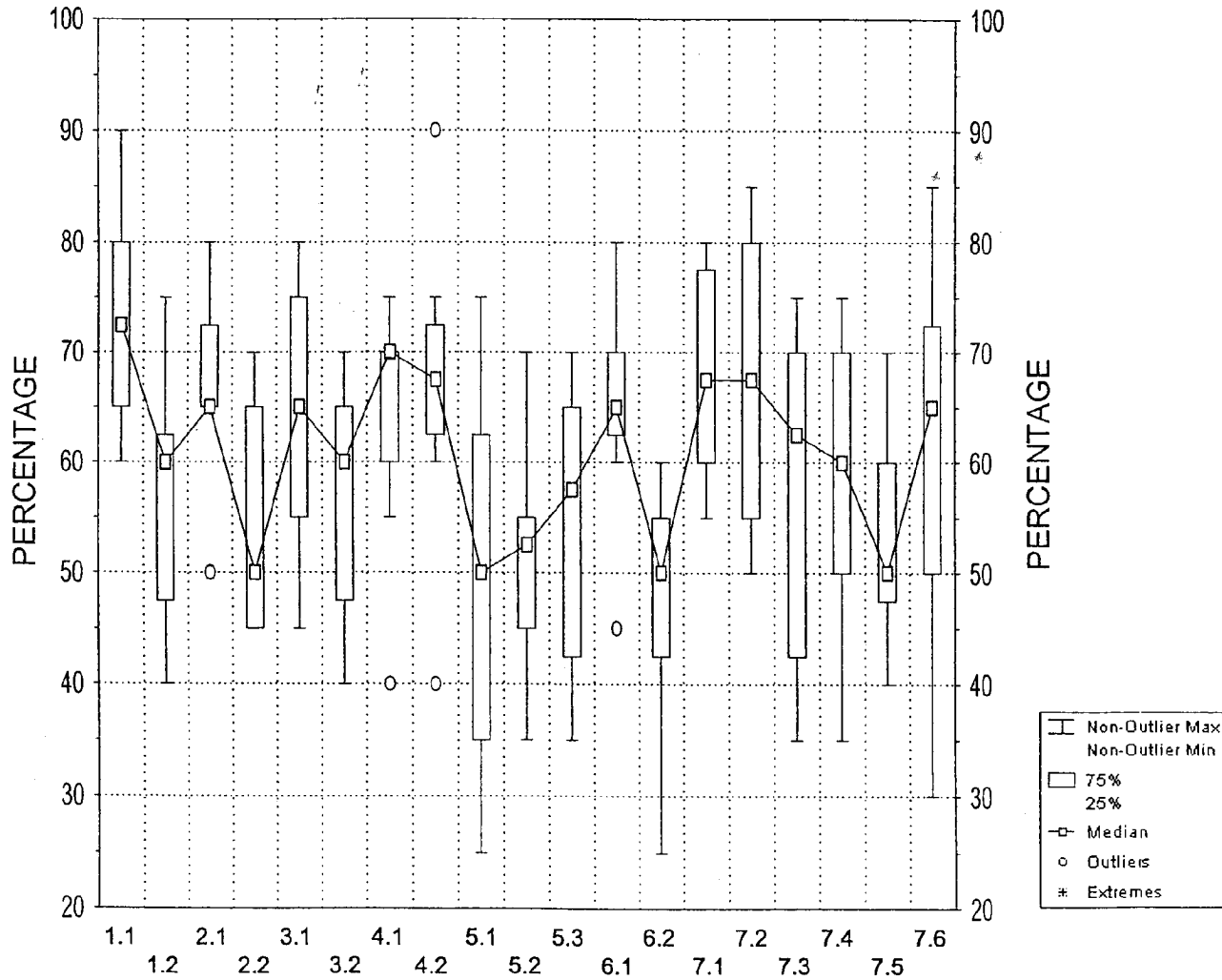
Application Number: 999-00

		Maximum Points Possible	Examiner #1 3530 S#	Examiner #2 1072 R#	Examiner #3 918 A	Examiner #4 3347 S	Examiner #5 5034 NS#	Examiner #6 1059 S#	Examiner #7 3352 NS	Examiner #8 2078 S#	Avg Pts Scored	Avg % Score	Median Pts Scored	Median % Score	Std Dev Pts
1.0	LEADERSHIP														
	1.1	70	60 %	75 %	90 %	65 %	65 %	80 %	80 %	70 %	51.2	73.1 %	50.8	72.5 %	10.0
	1.2	50	55 %	60 %	60 %	75 %	40 %	60 %	65 %	40 %	28.4	56.9 %	30.0	60.0 %	11.9
	Totals	120	69.5	82.5	93.0	83.0	65.5	86.0	88.5	69.0	79.6	66.3 %	80.8	67.3 %	10.2
2.0	STRATEGIC PLANNING														
	2.1	40	75 %	70 %	65 %	65 %	65 %	65 %	80 %	50 %	26.8	66.9 %	26.0	65.0 %	8.8
	2.2	45	65 %	50 %	65 %	45 %	45 %	50 %	70 %	45 %	24.5	54.4 %	22.5	50.0 %	10.5
	Totals	85	59.3	50.5	55.3	46.3	46.3	48.5	63.5	40.3	51.3	60.4 %	48.5	57.1 %	7.6
3.0	STUDENT, STAKEHOLDER, AND MARKET FOCUS														
	3.1	40	75 %	50 %	80 %	70 %	60 %	60 %	75 %	45 %	25.8	64.4 %	26.0	65.0 %	12.7
	3.2	45	65 %	40 %	65 %	50 %	45 %	65 %	70 %	55 %	25.6	56.9 %	27.0	60.0 %	11.0
	Totals	85	59.3	38.0	61.3	50.5	44.3	53.3	61.5	42.8	51.4	60.5 %	53.0	62.4 %	9.0
4.0	MEASUREMENT, ANALYSIS, AND KNOWLEDGE MANAGEMENT														
	4.1	45	70 %	40 %	70 %	70 %	55 %	65 %	75 %	70 %	29.0	64.4 %	31.5	70.0 %	11.5
	4.2	45	65 %	60 %	90 %	70 %	40 %	65 %	75 %	70 %	30.1	66.9 %	30.4	67.5 %	14.1
	Totals	90	60.8	45.0	72.0	63.0	42.8	58.5	67.5	63.0	59.1	65.7 %	61.9	68.8 %	10.3
5.0	FACULTY AND STAFF FOCUS														
	5.1	35	60 %	35 %	65 %	50 %	35 %	50 %	75 %	25 %	17.3	49.4 %	17.5	50.0 %	17.0
	5.2	25	55 %	40 %	55 %	50 %	35 %	55 %	70 %	50 %	12.8	51.3 %	13.1	52.5 %	10.6
	5.3	25	55 %	40 %	65 %	65 %	35 %	60 %	70 %	45 %	13.6	54.4 %	14.4	57.5 %	12.9
	Totals	85	48.5	32.3	52.8	46.3	29.8	46.3	61.3	32.5	43.7	51.4 %	45.0	52.9 %	11.2
6.0	PROCESS MANAGEMENT														
	6.1	50	80 %	60 %	65 %	45 %	65 %	65 %	70 %	70 %	32.5	65.0 %	32.5	65.0 %	10.0
	6.2	35	60 %	50 %	50 %	50 %	35 %	50 %	60 %	25 %	16.6	47.5 %	17.5	50.0 %	12.0
	Totals	85	61.0	47.5	60.0	40.0	44.8	50.0	56.0	43.8	49.1	57.8 %	50.0	58.8 %	6.8
7.0	ORGANIZATIONAL PERFORMANCE RESULTS														
	7.1	150	75 %	65 %	70 %	80 %	60 %	55 %	80 %	60 %	102.2	68.1 %	101.3	67.5 %	9.6
	7.2	60	80 %	85 %	50 %	65 %	60 %	70 %	80 %	50 %	40.5	67.5 %	40.5	67.5 %	13.6
	7.3	80	60 %	70 %	45 %	65 %	35 %	75 %	70 %	40 %	34.5	57.5 %	37.5	62.5 %	15.4
	7.4	60	60 %	50 %	65 %	60 %	35 %	50 %	75 %	75 %	35.3	58.8 %	36.0	60.0 %	13.6
	7.5	60	60 %	45 %	50 %	60 %	40 %	50 %	70 %	50 %	31.9	53.1 %	30.0	50.0 %	9.6
	7.6	60	60 %	50 %	85 %	70 %	30 %	70 %	75 %	50 %	36.8	61.3 %	39.0	65.0 %	17.5
	Totals	460	204.5	227.5	282.0	312.0	260.0	271.5	342.0	260.0	281.2	63.5 %	284.3	63.2 %	40.4

SAMPLE STAGE 1 SCORING GRAPH

Application Number: 999-00

2004 Stage 1 Scoring Graph



SAMPLE STAGE 1 FREQUENCY OF SCORES

Application Number: 999-00

Frequency of Scores (by Item #)

100																		100
95																		95
90	1							1										90
85														1			1	85
80	2		1		1						1		2	2				80
75	1	1	1		2		1	1	1				1		1	2	1	75
70	1		1	1	1	1	4	2		1	1	2		1	1	2	1	70
65	2	1	4	2		3	1	2	1		2	3		1	1	1	1	65
60	1	3			2			1	1		1	1	2	2	1	1	2	60
55		1				1	1			3	1			1				55
50			1	2	1	1			2	2			4		2		2	50
45				3	1	1					1	1				1	1	45
40		2				1	1	1		1	1					1	1	40
35									2	1	1		1			1	1	35
30																	1	30
25									1				1					25
20																		20
15																		15
10																		10
5																		5
0																		0
	11	21	31	41	51	52	62	72	74	76								

Section Five

Site Visit Issues

**OPTIONS FOR
DEVELOPING SITE VISIT
ISSUES**

Each Site Visit Team must draft and reach consensus on two–four SVIs per Item that the team will clarify or verify when on site. The Consensus Team Leader has the discretion to decide when each step of the SVI development process (drafting, reviewing, and revising SVIs) will take place and who will participate.

1. Options for *when* SVIs are developed:
 - *Use the traditional process, which occurs during Stage 2.* Each Item lead drafts 2–4 SVIs per Item during the consensus planning phase. The drafts are reviewed by Item backups and then revised by the Item leads before the consensus calls. During the consensus calls, the team discusses and reaches consensus on all SVIs for all Items. Use of this traditional process is optional. Team Leaders who are relatively confident that their consensus applicant will move on to a site visit may wish to continue this process. Others may wish to wait until they are certain that their applicant is moving on to Stage 3. The disadvantage of waiting is that it will increase the amount of work the Site Visit Team must accomplish during the Stage 3 planning phase.
 - *Develop a preliminary draft of the SVIs before the Judges’ Meeting on September 14.* While the Team Leader might develop this draft, other options for who should prepare this or other drafts of SVIs are discussed below.
 - *Draft SVIs early in the Stage 3 planning phase.* Team Leaders may wait to develop SVIs until they learn if their applicant will receive a site visit. This decision will be made at the Judges’ meeting on **September 14**. Waiting until this time will increase the amount of work that must be accomplished during the site visit planning phase, but it will guarantee that the SVIs will be used. Possible options for who should prepare the SVIs are discussed below.
2. Options for *who* participates in the phases of SVI development:
 - **Drafting SVIs:** The Team Leader may draft all the SVIs, have the Backup Team Leader draft all the SVIs, have Item leads draft SVIs for their assigned Items, or assign a combination of team members to draft them.
 - **Reviewing Draft SVIs:** The Team Leader will assign one or more members of the team to review the SVIs and give feedback to the drafter(s). The reviewers can be one or more team members (e.g., Team Leader, Backup Team Leader, the Item backups from the consensus stage, Senior Examiners on the team).

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- **Revising Draft SVIs:** The original drafter(s) will revise the SVIs based on feedback from the reviewer(s).

Reaching Consensus on SVIs: The entire team must reach consensus on all the SVIs. This can be done during the consensus calls, the period between Stages 2 and 3, or during the early part of the Stage 3 (site visit) planning process.

The Use of the Item Worksheet and the SVI Worksheet: SVIs should appear on the appropriate Item Worksheet in the section labeled “Site Visit Issues (For Stage 3, Site Visit Use).”

If the applicant is selected for a site visit, each Item/Category lead will copy and paste each SVI onto a separate SVI Worksheet and upload the worksheets to *examinerdepot*. The Item/Category lead also will develop a strategy (e.g., documents to review, people to interview, questions to ask) for resolving the issue while on site.

Section Six

***Peer Feedback Forms
and Instructions***

2006 CONSENSUS REVIEW PEER FEEDBACK INSTRUCTIONS

Thank you for being an active participant on your Stage 2 Consensus Team.

We are again requesting your cooperation in providing peer feedback by evaluating the scorebooks for your consensus application. By providing constructive feedback in the spirit of continuous improvement, you will help both your teammates and the “phantom” Examiners become better Stage 1 scorebook writers, which is an important core skill for Baldrige Examiners and a high priority for the Baldrige National Quality Program. The benefits of improved Stage 1 scorebook writing extend to all of the Program’s key stakeholders—our Award applicants, the Board of Examiners, and the Panel of Judges.

After using the Stage 1 scorebooks to complete your consensus comments for your assigned Items and Categories, please use the attached review form to provide feedback. We ask that you be very constructive in your evaluations and include examples of any concerns, so that the recipients of your feedback will know precisely which aspects of their comment writing are strengths and which provide opportunities for improvement.

Use the rating scale on page 38 to help ensure consistency as you complete the attached 2006 Scorebook Peer Evaluation Form. Please remember that our objective is to help others become better scorebook writers.

Once you have completed your reviews, please return them to me in the enclosed FedEx materials by **September 14**, if possible. If you have any questions, please feel free to contact me at (301) 975-8756 or at goehrig@nist.gov.

Thank you very much for your time and thoughtful evaluations.

Sincerely,

Bob Goehrig

2006 SCOREBOOK PEER EVALUATION FORM—Stage 2

SCOREBOOK PREPARED BY: _____ APPLICANT #: _____

REVIEWED BY (optional): _____ DATE: _____

This review will be shared only with the Examiner whose Stage 1 scorebook you are evaluating.

Use the attached rating scale to evaluate any scorebook element you used to complete your consensus assignments. Circle the most appropriate score.

Scorebook Elements	Needs Improvement		Met Expectations		Exceeded Expectations	Actionable Comments and Specific Examples
1. Key Factors Worksheet	1	2	3	4	5	
2. Key Themes Worksheet	1	2	3	4	5	
3. Item Worksheets	1	2	3	4	5	
4. Criteria Knowledge	1	2	3	4	5	
5. Overall Scorebook Quality	1	2	3	4	5	

Other comments:

2006 SCOREBOOK EVALUATION RATING SCALE

	1 – Needs Improvement	2	3 – Met Expectations	4	5 – Exceeded Expectations
Key Factors Worksheet	<ul style="list-style-type: none"> Many significant characteristics of the applicant were not captured. Format did not mirror the sections of the Preface: Organizational Profile. Proper format was not followed. Facts were not appropriately concise. 		<ul style="list-style-type: none"> A concise summary of the most important aspects of the applicant’s organizational environment was provided. Each bullet was a phrase that describes a significant fact about or aspect of the applicant. Organization followed the five sections from the Preface: Organizational Profile. Worksheet was 1–2 pages in length. 		<ul style="list-style-type: none"> There is little room for improvement. All key aspects were captured in proper format and style.
Key Themes Worksheet	<ul style="list-style-type: none"> Worksheet did not project a higher-level summary of the evaluation. Many comments were identical to Item comments instead of being rolled into a larger, more global finding. Content of key themes comments did not reflect the balance of Item comments or overall score. Comments were not a single thought. Comments did not meet the Comment Guidelines. 		<ul style="list-style-type: none"> Comments were feedback-ready and effectively summarized the overall evaluation of the organization. Comments were cross-cutting, especially significant in terms of the applicant’s key factors, and/or addressed a Core Value of the Criteria. Comments addressed a single thought. Comments were organized into three sections (responding to Questions a, b, and c) and met the Comment Guidelines. 		<ul style="list-style-type: none"> All key themes comments clearly and effectively communicated most critical aspects of the overall evaluation of the applicant. Key themes comments could have been sent directly to the applicant with no changes. Worksheet was among top 5 percent of all Key Themes Worksheets this Examiner has ever seen.
Item Worksheets	<ul style="list-style-type: none"> Many comments did not meet most of the Comment Guidelines. Comments frequently were not a single thought, were prescriptive, and/or were judgmental. Scorebook did not contain a complete set of Item Worksheets. Balance and content of Item-level comments consistently did not reflect the Item score. Comments did not provide actionable information for the applicant. 		<ul style="list-style-type: none"> Comments presented a single, complete thought, addressing requirements from the Criteria, using examples from the application, and linking to the organization’s key factors. Comments reflected the appropriate scoring range and did not appear to conflict with one another. Worksheet showed appropriate use of double plus and double minus. Comments were nonprescriptive and nonjudgmental, referenced appropriate figures, and met all other Comment Guidelines. Results Items comments identified levels and trends, segmentation, appropriate comparisons, and were appropriately linked to Process Items and key factors. 		<ul style="list-style-type: none"> All Comment Guidelines were met. All comments were captured in the proper format and style. Scorebook comments could have been sent directly to the applicant with no changes. This was among the top 5 percent of all scorebooks this Examiner has ever seen.
Criteria Knowledge	<ul style="list-style-type: none"> Many comments were not linked to and did not reference the Criteria requirements. Examiner did not recognize and cite critical information in the application relating to many of the Criteria requirements. 		<ul style="list-style-type: none"> Comments demonstrated an understanding of the Criteria requirements and the significance of key factors in determining what requirements were most important for the applicant. Comments demonstrated an understanding of key terms in the Scoring Guidelines. Appropriate scoring ranges were selected. The benefit of the doubt was appropriately utilized. 		<ul style="list-style-type: none"> The Examiner clearly demonstrated comprehensive knowledge of the Criteria, Core Values, and Scoring Guidelines, as well as the relationships among and between these elements, including the organization’s key factors. Linkages among Items, based on the applicant’s key factors, were well utilized and clearly evident.

Section Seven

Frequently Asked Questions

FREQUENTLY ASKED QUESTIONS

1. How many Examiners will participate in Stage 2?

Generally, one-half to two-thirds of the Examiners who complete a Stage 1 review will receive a Consensus Team assignment for that applicant, provided the applicant moves forward in the review process. However, if there is an opening on a Consensus Team, an Examiner from Stage 1 whose applicant did not move forward could be asked to fill the opening. The Examiner is then required to complete the Key Themes Worksheet for this applicant in order to participate in the consensus review.

2. How are team members selected for Consensus Teams?

The Consensus Team is composed primarily of Examiners who read the application at Stage 1. In addition, we consider proper team balance in terms of Criteria knowledge, Award process experience, industry/sector expertise, and Category expertise. To be selected, Examiners also must be available to participate in the entire consensus review process and, preferably, in the Stage 3, Site Visit Review process in case the applicant is selected by the Judges for Stage 3.

3. I just found out that my Stage 1 applicant is going on to consensus. What are my first tasks?

Congratulations! Your first task is to provide your Team Leader with your biography and the dates that you are available (and unavailable) for the planning call and consensus calls. Your Team Leader will be contacting you in early August to request this information.

4. I am a newly added member of a Consensus Team. I did not review the application during the Stage 1, Independent Review. What do I need to do to prepare for the consensus review process?

If you are a newly added member of a Consensus Team, you will receive a package from ASQ containing the application and other materials. (This package is similar to the one that you received during Stage 1, Independent Review.) Once you receive this package, you should read the application and prepare a complete set of key themes for the applicant (i.e., complete the Key Themes Worksheet). However, you *do not* need to prepare a complete scorebook, nor do you need to score the application, as you did in the Stage 1 review. The package from ASQ and your Team Leader will provide additional information on your specific tasks.

5. What if the draft Item Worksheets need to be faxed to other team members?

Although most Item Worksheets will be reviewed via *examinerdepot*, there may be instances where consensus work documents will need to be faxed; however, all communications should meet confidentiality requirements. Recipients of the faxed document who do not have a secure fax machine should be called first so they can receive the document personally.

6. I have been on some very long consensus calls. What strategies might reduce the amount of time that the calls take?

Consensus calls are, by design, typically 8–12 hours (two calls of 4–6 hours each). To avoid longer calls, it is imperative that your team meet its deadlines during the planning phase prior to the calls. This means that Item Worksheets must be exchanged and reviewed in a timely manner and that they must be distributed to all team members well in advance of the call. It also means that all team members must review the worksheets prior to the call and be ready to discuss them.

In addition, while on the call, Category/Item leads must present their Items efficiently and effectively. This means that Item leads should rehearse delivering their Items prior to the call and be prepared to summarize the Item requirements, key factors, and comments. (They should not read their Item Worksheets verbatim.) They also should be prepared to discuss any divergent views and how these

differences were resolved. A model script for presenting an Item will be available in the Just-In-Time consensus training materials that are available at www.baldrige.gov/Examiner_Resources.htm.

7. What if an Examiner cannot be there for part of the conference call?

It is critical that *all* team members participate in the consensus review process. It is essential that each team member participate in the *entire* conference call. Team members should contact the Team Leader immediately if a problem arises with the proposed schedule. If schedules change and an Examiner must step away from the call, the Team Leader will have to reschedule the call to allow for the full participation of that team member.

8. Can electronic mail be used to forward draft Item Worksheets to other team members?

No. Electronic mail via the Internet is not a secure means of communication for the purpose of applicant review and should not be used. Most Examiners will be able to access consensus materials via *examinerdepot*, a secure Web site created for this purpose. However, if unable to access *examinerdepot*, they may use overnight mail or a secure fax. Also, the NIST Monitor will tell the Team Leader whether the applicant has approved the use of cell phones, cordless phones, and VoIP for consensus calls.

9. Can secretaries, family members, or anyone else help prepare and transmit consensus review documents?

No. Secretaries and other persons should not prepare, copy, or transmit confidential consensus review documents. Examiners are solely responsible for all the materials and information.

10. What are the time commitments required for participating in the consensus review process?

The consensus review process occurs from mid-August through mid-September. It is estimated that 24–34 hours will be required: 2–3 hours for the planning call, 12–16 hours in preparation prior to the consensus calls, 8–12 hours for the consensus calls, and 2–3 hours after the calls to rewrite the draft Item Worksheets and other consensus scorebook documents.

11. If my Team Leader recommends that we develop site visit issues during consensus, how are site visit issues selected?

Your Team Leader will develop a plan for site visit issues and will inform you if you are to prepare site visit issues. Typically, two–four site visit issues are prepared for each of your assigned Categories/Items. The issues are based on the need to verify strengths/OFIs or clarify OFIs contained in the consensus scorebook. Since the site visit is not an audit, the selection of issues or questions for clarification and/or verification during the site visit is crucial.

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